



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Group Art Unit: Unknown
Examiner: Unknown

November 01, 2001

Customer Assignment No. 27516
Serial No.: 09/925,592
Filed: August 09, 2001
In re Application of: Ralph E. Sipple et al.
Title: COMMUNAL LOCK PROCESSING SYSTEM FOR
MULTIPROCESSOR COMPUTER SYSTEM
Attorney Docket No. RA-5416

TRANSMITTAL OF
INFORMATION DISCLOSURE STATEMENT

RECEIVED

JAN 23 2002

Assistant Commissioner for Patents
Washington, D.C. 20231

Technology Center 2100

Dear Sir:

Enclosed herewith is the Information Disclosure Statement (PTO-1449) for the subject patent application. These references are cited for the reasons specified where they are discussed in the Application. They do not negatively affect the patentability of the claims. Pursuant to the obligations of candor and good faith imposed by 37 C.F.R. 1.56, the documents listed on the attached PTO-1449 are hereby disclosed.

- ☒ In accordance with 1.97(b), since this Information Disclosure Statement is being filed either within three (3) months of the Filing Date of the above-identified application, within three (3) months of the date of entry into the national stage of the above identified application as set forth in 1.491, or before the mailing date of a first Office Action on the merits of the above-identified application, no additional fee is required.
- ☐ In accordance with 1.129(a), this Information Disclosure Statement is being filed in connection with () first or () second After Final Submission, therefore:
- ☐ Certification in Accordance with 1.97(e) is attached; or

CERTIFICATE UNDER 37 CFR 1.10 The undersigned hereby certifies that this transmittal letter and the paper of papers, as described hereinabove, are being deposited in the United States Postal Service, with sufficient postage as first class mail, in an envelope addressed to: Box NON-FEE AMENDMENT, Assistant Commissioner for Patents, Washington, D.C. 20231, on the date shown below:

Michael B. Atlass
(Michael B. Atlass)

November 01, 2001

(Date)

- ☐ The fee of \$240.00 as set forth in 1.17(p) is attached.
 - ☐ In accordance with 1.97(c), this Information Disclosure Statement is being filed after the period set for in 1.97(b) above but before the mailing date of either a Final Action under 1.113 or a Notice of Allowance under 1.311, therefore:
 - ☐ Certification in Accordance with 1.97(e) is attached; or
 - ☐ The fee of \$240.00 as set forth in 1.17(p) is attached.
 - ☐ In accordance with 1.97(d), this Information Disclosure Statement is being filed after the mailing date of either a Final Action under 1.113 or a Notice of Allowance under 1.311 but before the payment of the Issue Fee, therefore included are:
 - ☐ Certification in Accordance with 1.97(e),
 - ☐ Petition Requesting Consideration of the Information Disclosure Statement; and
 - ☐ the fee of \$180.00 as set forth in 1.17(i).
 - ☒ Copies of each of the references listed on the attached Form PTO-1449 are enclosed herewith.
 - ☐ Copies of references listed on the attached Form PTO-1449 are enclosed herewith EXCEPT THAT:
 - ☐ In view of the voluminous nature of references (list as appropriate), and the likelihood that these references are available to the Examiner, copies are not enclosed herewith.
 - ☐ In accordance with 1.98(d), copies of the following references listed on the attached Form PTO-1449 are not enclosed herewith because they were previously cited by or submitted to the U.S. Patent and Trademark Office in patent application(s) for which a claim for priority under 35 U.S.C. 120 have been made in the instant application:
 - ☐ Copies of references (list as appropriate) listed on the attached Form PTO-1449 were previously cited by or submitted to the Patent and Trademark Office in prior application Serial No. _____, Filed _____.
 - ☐ If any of the foregoing publications are not available to the Examiner, Applicant will endeavor to supply copies at the Examiner's request.
- The relevance of those listed reference, which is not in the English language, is as follows:
- ☒ There are no listed references, which are not in the English language.



No representation is intended to be made hereby that any of the cited references establishes, by itself or in combination with other information, a prima face case of unpatentability of any claim of the present case.

You are hereby authorized to charge any deficiencies or credit any over payment to Deposit Account No. 19-3790.

Respectfully submitted by the Applicants:

11/01/2001

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